

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

P05,0076

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

**10/527382**

INTERNATIONAL APPLICATION NO:

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

PCT/DE2003/002997

10 September 2003

13 September 2002

TITLE OF INVENTION: "SPECTROSCOPIC IMAGING METHOD, DEVICE COMPRING ELEMENTS FOR CARRYING OUT SAID METHOD AND USE OF SAID IMAGING METHOD FOR CHARACTERISING MATERIALS"

APPLICANT(S) FOR DO/EO/US

Wolfgang Dreher, Christian Geppe

thias Althaus

Applicant herewith submits to the United States Designated/Elected information:

(DO/EO/US) the following items and other

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern other document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (PTO 1449, Prior Art, Search Report).
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.  
A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
  - a. ☒ Assertion of Small Entity Status
  - b. ☒ EXPRESS MAIL # EV362544310US dated March 11, 2005

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5)

10/527382

INTERNATIONAL APPLICATION NO.  
PCT/DE2003/002997ATTORNEY'S DOCKET NUMBER  
P05,0076

- 17.
- ☒
- The following fees are submitted:

**BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):**Search Report has been prepared by the EPO or JPO ..... \$1,000.00  
(Includes National Stage, Search and Examination Fees)

CALCULATIONS

PTO USE ONLY

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$1,000.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from  
the earliest claimed priority date (37 C.F.R. 1.492(e)).

Claims

Number Filed

Number  
Extra

Rate

Total Claims

54 20 =

34

X \$50.00

\$1,700.00

Independent Claims

6 - 3 =

3

X \$200.00

\$ 600.00

Multiple Dependent Claims

\$360.00 +

\$ 360.00

**TOTAL OF ABOVE CALCULATIONS =**

\$3,660.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also  
be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28)

-\$1,830.00

**SUBTOTAL =**

\$1,830.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from  
the earliest claimed priority date (37 CFR 1.492(f)).

+

**TOTAL NATIONAL FEE =**

\$1,830.00

Fee for recording the enclosed assignment (37 C.F.R. 1.21(h). The assignment must be  
accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property

+

**TOTAL FEES ENCLOSED =**

\$1,830.00

Amount to be  
refunded

charged

- a. ☒ A check in the amount of \$1,830.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$\_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 501519. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Schiff Hardin LLP  
Patent Department  
6600 Sears Tower  
Chicago, Illinois 60606-6473  
Customer Number 26574

SIGNATURE

James D. Hobart

NAME

24,149

Registration Number

DT09 Rec'd PCT/PTO 1 1 MAR 2005

IN THE UNITED STATES ELECTED OFFICE OF  
THE UNITED STATES PATENT AND TRADEMARK OFFICE  
UNDER THE PATENT COOPERATION TREATY - CHAPTER I

ASSERTION OF SMALL ENTITY STATUS

5 APPLICANT: Wolfgang Dreher, Christian Geppert and Matthias Althaus  
ATTORNEY  
DOCKET NO.: P05,0076  
SERIAL NO.: EXAMINER:  
FILING DATE: ART UNIT:  
10 INTERNATIONAL APPLICATION NO.: PCT/DE2003/002997  
INTERNATIONAL FILING DATE: 10 September 2003  
INVENTION: "SPECTROSCOPIC IMAGING METHOD, DEVICE  
COMPRISING ELEMENTS FOR CARRYING OUT SAID  
METHOD AND USE OF SAID IMAGING METHOD FOR  
15 CHARACTERISING MATERIALS"

**Mail Stop PCT**

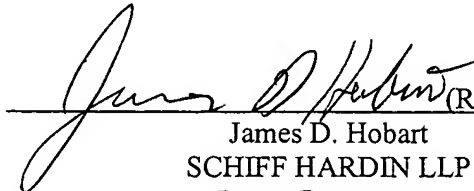
Commissioner for Patents  
P.O. Box 1450  
20 Alexandria, VA 22313-1450

S I R:

The National Stage of the PCT Application is to be assigned to  
University of Bremen, which qualifies as a small entity under 37 CFR 1.27(a)(3) and  
is entitled to pay small entity fees.

25 Respectfully submitted,

30

 (Reg. No. 24,149)  
James D. Hobart  
SCHIFF HARDIN LLP

35

Patent Department  
6600 Sears Tower  
233 South Wacker Drive  
Chicago, Illinois 60606  
(312) 258-5781

Customer Number: 26574

DATED: March 11, 2005

**CERTIFICATE OF MAILING BY U.S. EXPRESS MAIL**

**"Express Mail" Mailing Label Number** EV362544310US

**Date of Deposit:** March 11, 2005

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10(c) on the date indicated above and is addressed to:

**Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**

**Case Number:** P05,0076

**International Application No.**  
PCT/DE2003/002997

**International Filing Date**  
10 September 2003

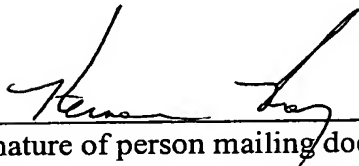
**Priority Date Claimed**  
13 September 2002

**Title:** "SPECTROSCOPIC IMAGING METHOD, DEVICE COMPRISING ELEMENTS FOR CARRYING OUT SAID METHOD AND USE OF SAID IMAGING METHOD FOR CHARACTERISING MATERIALS"

**Applicant(s):** Wolfgang Dreher, Christian Geppert and Matthias Althaus

**Enclosed are the following documents:**

International application as filed;  
Information Disclosure Statement, Form PTO-1449,  
Prior Art, Search Report;  
Assertion of Small Entity Status;  
PTO 1390 in duplicate;  
Filing Fee: \$1,830.00;  
Postcard.



Signature of person mailing documents and fee